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51-89-02

PTO/SB/05 (11-00)

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Approved for use through 10/31/2002 OMB 0651-0032

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No.

20093A002220

First Inventor

Holmes, Eric H.

Title

NUCLEIC ACIDS AND PROTEINS OF A RAT GANGLIOSIDE GM1-SPECIFIC ALPHA 1-2 FUCOSYLTRANSFERASE AND USES THEREOF

Express Mail Label No.

ET008281505US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning design patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 53]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10]
5. Oath or Declaration [Total Pages 1]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper number of pages
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (COPY)
10. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
17. ☒ Other: Req. Ref. to Previously Filed Sequence Listing

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

of prior application No: 09/298,886 /

Prior application information:

Examiner S. Kaushal

Group Art Unit: 1633

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

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Correspondence address below

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City

State

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Country

Telephone

Fax

Name (Print/Type)

Brian W. Poor

Registration No. (Attorney/Agent)

32,928

Signature

Brian W. Poor

Date

November 1, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231. SE 5010157 v1

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

## Complete if Known

|                      |                  |
|----------------------|------------------|
| Application Number   | Not Assigned Yet |
| Filing Date          | November 1, 2001 |
| First Named Inventor | Holmes, Eric H   |
| Examiner Name        | Not Assigned Yet |
| Group Art Unit       | Not Assigned Yet |
| Attorney Docket No.  | 20093A-002220US  |

TOTAL AMOUNT OF PAYMENT (\$) 355

U.S. PTO  
10/04/01  
11/01/01

|   |                 |  |                 |
|---|-----------------|--|-----------------|
| <b>METHOD OF PAYMENT</b>  |                 | <b>FEE CALCULATION (continued)</b>   |                 |
| 1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to<br><br>Deposit Account Number: 20-1430<br><br>Deposit Account Name: Townsend and Townsend and Crew LLP<br><br><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17<br><input checked="" type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27 |                 | <b>3. ADDITIONAL FEES</b>  |                 |
| 2. <input type="checkbox"/> Payment Enclosed:<br><br><input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other  |                 |  |                 |
| <b>1. BASIC FILING FEE</b>  |                 |  |                 |
| Large Fee Code  | Entity Fee (\$) | Small Fee Code   | Entity Fee (\$) |
| 101   | 710             | 201  | 355             |
| 106   | 320             | 206  | 160             |
| 107   | 490             | 207  | 245             |
| 108   | 710             | 208  | 355             |
| 114   | 150             | 214  | 75              |
| SUBTOTAL (1)  |                 | (\$355)  |                 |
| <b>2. EXTRA CLAIM FEES</b>  |                 |  |                 |
| Total Claims  | 12              | -20**  | = 0             |
| Independent Claims  | 2               | -3**   | = 0             |
| Multiple Dependent  |                 |  |                 |
| Large Fee Code  | Entity Fee (\$) | Small Fee Code   | Entity Fee (\$) |
| 103   | 18              | 203  | 9               |
| 102   | 80              | 202  | 40              |
| 104   | 270             | 204  | 135             |
| 109   | 80              | 209  | 40              |
| 110   | 18              | 210  | 9               |
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| *or number previously paid, if greater; For Reissues, see above   |                 |  |                 |
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|   |                 | *Reduced by Basic Filing Fee Paid  |                 |
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|   |                 | (\$)   |                 |

|                     |                      |                                   |                  |
|---------------------|----------------------|-----------------------------------|------------------|
| <b>SUBMITTED BY</b> |                      | <b>Complete (if applicable)</b>   |                  |
| Name (Print/Type)   | Brian W. Poor        | Registration No. (Attorney/Agent) | 32,928           |
| Signature           | <i>Brian W. Poor</i> | Telephone                         | 206-467-9600     |
|                     |                      | Date                              | November 1, 2001 |

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

ERIC H. HOLMES et al.

Patent Application No.: 09/298,886  
Application No.: Not Assigned

Parent Filed: April 23, 1999  
Filed: Herewith

For: NUCLEIC ACIDS AND PROTEINS  
OF A RAT GANGLIOSIDE GM1-  
SPECIFIC ALPHA 1→2  
FUCOSYLTRANSFERASE AND  
USES THEREOF

Parent Exr.: S. Haushal  
Examiner: Not Assigned Yet

Parent Art Unit: 1633  
Art Unit: Not Assigned Yet

**REQUEST UNDER 37 CFR 1.821(e)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Applicants believe that the computer readable form in the present application is identical with that filed in the parent application (09/298,886 on April 23, 1999). In accordance with 37 CFR 1.821(e), please use the only-filed computer readable form filed in that application on April 23, 1999, as the computer readable form for the present application. Although no fee is believed due with this submission, the Commissioner is hereby authorized to charge any fees associated herewith to Deposit Account No. 20-1430.

Respectfully submitted,

Dated: 1 November 2001

By: Brian W. Poor  
Brian W. Poor  
Reg. No. 32,928

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FOOTNOTES